

PATENT COOPERATION TREATY

From the RECEIVING OFFICE

PCT

NOTIFICATION OF THE INTERNATIONAL
APPLICATION NUMBER AND OF THE
INTERNATIONAL FILING DATE

(PCT Rule 20.5(c))

To:
SUSAN M. DADIO
BURNS, DOANE, SWECKER & MATHIS, LLP
P. O. BOX 1404
ALEXANDRIA, VIRGINIA 22313-1404

Date of mailing
(day/month/year) 07 Jun 2005

Applicant's or agent's file reference
034136-022

IMPORTANT NOTIFICATION

International application No. PCT/US05/10214	International filing date (day/month/year) 25 Mar 2005	Priority date (day/month/year) 26 Mar 2004
---	---	---

Applicant
LUNA INNOVATIONS INCORPORATED

Title of the invention
PHOTOVOLTAIC DEVICE WITH TRIMETASPHERES

1. The applicant is hereby notified that the international application has been accorded the international application number and the international filing date indicated above.

2. The applicant is further notified that the record copy of the international application:

- 07 Jun 2005
- ☒ was transmitted to the International Bureau on _____
- ☐ has not yet been transmitted to the International Bureau for the reason indicated below and a copy of this notification has been sent to the International Bureau*:
- ☐ because the necessary national security clearance has not yet been obtained.
- ☐ because (reason to be specified): _____


* The International Bureau monitors the transmittal of the record copy by the receiving Office and will notify the applicant (with Form PCT/IB/301) of its receipt. Should the record copy not have been received by the expiration of 14 months from the priority date, the International Bureau will notify the applicant (Rule 22.1(c)).

3. FOREIGN TRANSMITTAL LICENSE INFORMATION

Completed by: FL

- ☐ Additional license for foreign transmittal not required. This subject matter is covered by a license already granted or the equivalent U.S. national application. Refer to that license for information concerning its scope.
- ☐ License for foreign transmittal not required. 37 CFR 5.11(e)(1) or 37 CFR 5.11(e)(2). However, a license may be required for additional subject matter. See 37 CFR 5.15(b).
- ☒ Foreign transmittal license granted. 35 U.S.C. 184; 37 CFR 5.11 on 02 Jun 2005 :
(date)
- ☐ 37 CFR 5.15(a) ☒ 37 CFR 5.15(b)

Name and mailing address of the receiving Office
Mail Stop PCT, Commissioner for Patents
P.O. Box 1450, Alexandria, VA 22313-1450
Facsimile No. 703-305-3230

Authorized officer
Felicia Lawrence 
Telephone No. 703-308-9290 EX 133

PCT REQUESTOriginal (for **SUBMISSION**)

0	For receiving Office use only	
0-1	International Application No.	
0-2	International Filing Date	
0-3	Name of receiving Office and "PCT International Application"	
0-4	Form PCT/RO/101 PCT Request	
0-4-1	Prepared Using	PCT-SAFE [EASY mode] Version 3.50 (Build 0002.163)
0-5	Petition The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty	
0-6	Receiving Office (specified by the applicant)	United States Patent and Trademark Office (USPTO) (RO/US)
0-7	Applicant's or agent's file reference	034136-022
I	Title of Invention	PHOTOVOLTAIC DEVICE WITH TRIMETASPHERES
II	Applicant	
II-1	This person is	applicant only
II-2	Applicant for	all designated States except US
II-4	Name	LUNA INNOVATIONS INCORPORATED
II-5	Address	2851 Commerce Street Blacksburg, Virginia 24060 United States of America
II-6	State of nationality	US
II-7	State of residence	US
II-8	Telephone No.	540.552.5128
II-9	Facsimile No.	540.951.0760
III-1	Applicant and/or inventor	
III-1-1	This person is	applicant and inventor
III-1-2	Applicant for	US only
III-1-4	Name (LAST, First)	PHILLIPS, J., Paige
III-1-5	Address	2539 12 O'Clock Knob Road Salem, Virginia 24153 United States of America
III-1-6	State of nationality	US
III-1-7	State of residence	US

PCT REQUEST

Original (for SUBMISSION)

III-2	Applicant and/or inventor	
III-2-1	This person is	applicant and inventor
III-2-2	Applicant for	US only
III-2-4	Name (LAST, First)	TOPASNA, Daniela, M.
III-2-5	Address	12 Poyntz Place Lexington, Virginia 24450 United States of America
III-2-6	State of nationality	US
III-2-7	State of residence	US
III-3	Applicant and/or inventor	
III-3-1	This person is	applicant and inventor
III-3-2	Applicant for	US only
III-3-4	Name (LAST, First)	STEVENSON, Steven, A.
III-3-5	Address	508 Alleghany Street Blacksburg, Virginia 24060 United States of America
III-3-6	State of nationality	US
III-3-7	State of residence	US
III-4	Applicant and/or inventor	
III-4-1	This person is	applicant and inventor
III-4-2	Applicant for	US only
III-4-4	Name (LAST, First)	DESCHATELETS, Pascal
III-4-5	Address	11031 Indian Legends Drive, #202 Louisville, Kentucky 40241 United States of America
III-4-6	State of nationality	CA
III-4-7	State of residence	US
III-5	Applicant and/or inventor	
III-5-1	This person is	applicant and inventor
III-5-2	Applicant for	US only
III-5-4	Name (LAST, First)	KOENE, Bryan
III-5-5	Address	1835 Augusta National Road Blacksburg, Virginia 24060 United States of America
III-5-6	State of nationality	CA
III-5-7	State of residence	US


PCT REQUEST

Original (for SUBMISSION)

IV-1	Agent or common representative; or address for correspondence The person identified below is hereby/ has been appointed to act on behalf of the applicant(s) before the competent International Authorities as:	agent
IV-1-1	Name (LAST, First)	DADIO, Susan, M.
IV-1-2	Address	Burns, Doane, Swecker & Mathis, LLP P. O. Box 1404 Alexandria, Virginia 22313-1404 United States of America
IV-1-3	Telephone No.	703.836.6620
IV-1-4	Facsimile No.	703.836.2021
IV-1-6	Agent's registration No.	40,373
IV-2	Additional agent(s)	additional agent(s) with same address as first named agent
IV-2-1	Name(s)	KILLIAN, Jeffrey, G. (50,891)
V	DESIGNATIONS	
V-1	The filing of this request constitutes under Rule 4.9(a), the designation of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents.	
VI-1	Priority claim of earlier national application	
VI-1-1	Filing date	26 March 2004 (26.03.2004)
VI-1-2	Number	60/556,435
VI-1-3	Country	US
VI-2	Priority document request The receiving Office is requested to prepare and transmit to the International Bureau a certified copy of the earlier application(s) identified above as item(s):	VI-1
VII-1	International Searching Authority Chosen	United States Patent and Trademark Office (USPTO) (ISA/US)

PCT REQUEST

Original (for SUBMISSION)

VIII	Declarations	Number of declarations	
VIII-1	Declaration as to the identity of the inventor	-	
VIII-2	Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent	-	
VIII-3	Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application	-	
VIII-4	Declaration of inventorship (only for the purposes of the designation of the United States of America)	-	
VIII-5	Declaration as to non-prejudicial disclosures or exceptions to lack of novelty	-	
IX	Check list	number of sheets	electronic file(s) attached
IX-1	Request (including declaration sheets)	5	✓
IX-2	Description	8	-
IX-3	Claims	5	-
IX-4	Abstract	1	✓
IX-5	Drawings	3	-
IX-7	TOTAL	22	
	Accompanying Items	paper document(s) attached	electronic file(s) attached
IX-8	Fee calculation sheet	✓	-
IX-17	PCT-SAFE physical media	-	✓
IX-18	other	Transmittal Letter, Postcard, Check	
IX-19	Figure of the drawings which should accompany the abstract	1	
IX-20	Language of filing of the international application	English	
X-1	Signature of applicant, agent or common representative		
X-1-1	Name (LAST, First)	DADIO, Susan, M.	
X-1-2	Name of signatory		
X-1-3	Capacity		

PCT REQUESTOriginal (for **SUBMISSION**)**FOR RECEIVING OFFICE USE ONLY**

10-1	Date of actual receipt of the purported international application	
10-2	Drawings:	
10-2-1	Received	
10-2-2	Not received	
10-3	Corrected date of actual receipt due to later but timely received papers or drawings completing the purported international application	
10-4	Date of timely receipt of the required corrections under PCT Article 11(2)	
10-5	International Searching Authority	ISA/US
10-6	Transmittal of search copy delayed until search fee is paid	

FOR INTERNATIONAL BUREAU USE ONLY

11-1	Date of receipt of the record copy by the International Bureau	
------	--	--

PCT (ANNEX - FEE CALCULATION SHEET)

Original (for SUBMISSION)

(This sheet is not part of and does not count as a sheet of the international application)

0	For receiving Office use only		
0-1	International Application No.		
0-2	Date stamp of the receiving Office		
0-4	Form PCT/RO/101 (Annex)		
0-4-1	PCT Fee Calculation Sheet		
	Prepared Using	PCT-SAFE [EASY mode]	
		Version 3.50 (Build 0002.163)	
0-9	Applicant's or agent's file reference	034136-022	
2	Applicant	LUNA INNOVATIONS INCORPORATED	
12	Calculation of prescribed fees	fee amount/multiplier	Total amounts (USD)
12-1	Transmittal fee T	⇒	300
12-2-1	Search fee S	⇒	1000
12-2-2	International search to be carried out by	US	
12-3	International filing fee (first 30 sheets) i1	1134	
12-4	Remaining sheets	0	
12-5	Additional amount (X)	0	
12-6	Total additional amount i2	0	
12-7	i1 + i2 = i	1134	
12-12	EASY Filing reduction R	- 81	
12-13	Total International filing fee (i-R) I	⇒	1053
12-14	Fee for priority document		
	Number of priority documents requested	1	
12-15	Fee per document (X)	20	
12-16	Total priority document fee: P	⇒	20
12-17	TOTAL FEES PAYABLE (T+S+I+P)	⇒	2373
12-19	Mode of payment	cheque	
12-20	Deposit account instructions		
	The receiving Office	United States Patent and Trademark Office (USPTO) (RO/US)	
12-20-2	Authorization to charge any deficiency or credit any overpayment in the total fees indicated above	✓	
12-21	Deposit account No.	02-4800	
12-22	Date	25 March 2005 (25.03.2005)	
12-23	Name and signature	DADIO, Susan, M. 